

FORM PTO-1390
(REV 2-2005)
OMB-0651-0021

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO.
12007-0051

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

DATE: **December 19, 2005**

U.S. APPLN. NO.
(IF KNOWN, SEE 37 C.F.R. 1.5)
10/534,885

INTERNATIONAL APPLICATION NO.
PCT/DE2003/003787

INTERNATIONAL FILING DATE
November 14, 2003

PRIORITY DATE CLAIMED
November 15, 2002

TITLE OF INVENTION: **BIODEGRADABLE COLLOIDAL PARTICLES FOR PULMONARY APPLICATIONS IN PARTICULAR (AS AMENDED)**

APPLICANT(S) FOR DO/EO/US: **Werner SEEGER, Thomas SCHMEHL, Tobias GESSLER, Ann Lea DAILEY, and Matthias WITTMAR**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371. (THE BASIC FILING FEE IS ATTACHED)
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures [35 U.S.C. 371(f)] at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed [35 U.S.C. 371(c)(2)]
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed [35 U.S.C. 371(c)(2)].
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)].
9. ☒ An oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)]. **THREE EXECUTED DOCUMENTS**
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)].

Items 11 - 20 below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
☒ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☒ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: **SUBMISSION OF FORMAL DRAWINGS, FIVE (5) SHEETS REPLACEMENT DRAWINGS; COPY OF NOTICE OF MISSING REQUIREMENTS**

U.S. APPLN. NO. (IF KNOWN, SEE 37 C.F.R. 1.50) 10/534,885		INTERNATIONAL APPLICATION NO. PCT/DE2003/003787		ATTORNEY DOCKET NO. 12007-0051 DATE: December 19, 2005	
<input checked="" type="checkbox"/> The following fees are submitted:				CALCULATIONS	PTO USE ONLY
<input type="checkbox"/> 21.) Basic National Fee \$300				\$	
<input type="checkbox"/> 22.) Examination Fee - If International Preliminary Examination Report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4) \$100 All other situations \$200				\$	
<input type="checkbox"/> 23.) Search Fee - If Search Fee (37 CFR 1.445(a)(2)) has been paid in the International Application to the USPTO as an International Searching Authority \$100 International Search Report prepared and provided to the Office. \$400 All other situations \$500				\$	
TOTAL OF 21, 22 and 23 =				\$	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing on computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.				\$	
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
-100	/50=		x \$250	\$	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date [37 C.F.R. 1.492(h)].				\$ 65	
Claims	Number Filed	Number Extra	Rate		
Total Claims	- 20 =	0	X \$50.00	\$	
Independent Claims	- 3 =	0	X \$200.00	\$	
Multiple dependent claim(s) (if applicable)			+ \$360.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$	
Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2				\$	
SUBTOTAL =				\$ 65	
Processing fee of \$130.00 for furnishing the English translation later the 30 months from the earliest claimed priority date [37 C.F.R. 1.492(f)].				\$	
TOTAL NATIONAL FEE =				\$ 65	
Fee for recording the enclosed assignment [37 C.F.R. 1.21(h)]. The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property				\$	
TOTAL FEES ENCLOSED =				\$ 65	
				Amount to be refunded	\$
				Charged	\$

12/23/2005 MKAYPAGH 00000137 10534885

01 TC:2617 65.00 DP

a. ☒ A check in the amount of \$65 to cover the above fees is enclosed.

b. ☐ Please charge Counsel's Deposit Account No. 50-1088 in the amount of \$_____ to cover the above fee. A duplicate copy of this sheet is enclosed.

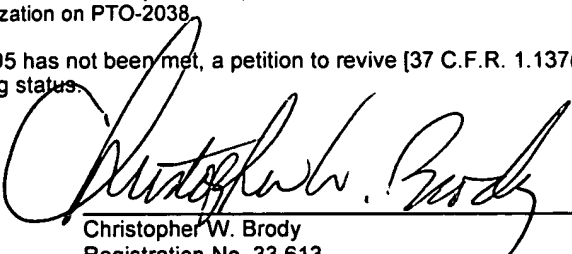
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Counsel's Deposit Account No. 50-1088.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive [37 C.F.R. 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

CLARK & BRODY
 1090 Vermont Avenue, N.W.
 Suite 250
 Washington, D.C. 20005
 Telephone: 202-835-1111
 Fax: 202-835-1755


 Christopher W. Brody
 Registration No. 33,613
 Date: December 19, 2005

Customer Number: 22902



UNITED STATES PATENT AND TRADEMARK OFFICE

Rec'd PCT/PTO 19 DEC 2005

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.govCWB
Page 1 of 2
12007-0051
MISSING PARTS
DOCKETED
Due: Dec 17, 2005
Final: May 17, 2006

U.S. APPLICATION NUMBER NO.

10/534,885

FIRST NAMED APPLICANT

Werner Seeger

ATTY. DOCKET NO.

12007-0051

INTERNATIONAL APPLICATION NO.

PCT/DE03/03787

I.A. FILING DATE

11/14/2003

PRIORITY DATE

11/15/2002

22902

CLARK & BRODY

1090 VERMONT AVENUE, NW

SUITE 250

WASHINGTON, DC 20005

CONFIRMATION NO. 8754

371 FORMALITIES LETTER



OC000000017227601

Date Mailed: 10/17/2005

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 05/13/2005
- English Translation of the IA filed on 05/13/2005
- Copy of the International Search Report filed on 05/13/2005
- Preliminary Amendments filed on 05/13/2005
- Oath or Declaration filed on 05/13/2005
- Copy of references cited in ISR filed on 05/13/2005
- U.S. Basic National Fees filed on 05/13/2005
- Priority Documents filed on 05/13/2005

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$65 for a Small Entity:

- \$65 Surcharge.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

MAMIE P PERSON

Telephone: (703) 308-9140 EXT 227

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/534,885	PCT/DE03/03787	12007-0051

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(In the DO/EO/US)

In re Application of:

Werner SEEGER et al.

Serial No.: 10/534,885

Filed: May 13, 2005

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Art Unit: not yet assigned

Examiner: not yet assigned

For: BIODEGRADABLE COLLOIDAL PARTICLES FOR PULMONARY
APPLICATIONS IN PARTICULAR (AS AMENDED)

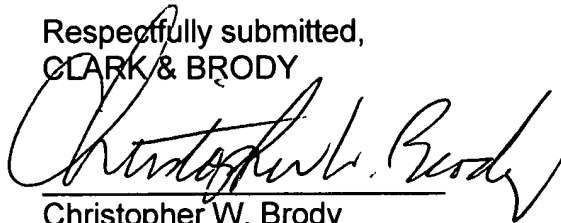
SUBMISSION OF FORMAL DRAWINGS

Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith are five (5) sheets of formal drawings. Entry is respectfully
requested.

Respectfully submitted,
CLARK & BRODY



Christopher W. Brody
Registration No. 33,613

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Washington, DC 20005
Telephone: 202-835-1753
Facsimile: 202-835-1755
Docket No.: 12007-0051

Date: December 19, 2005